



1746

PATENT  
Attorney Docket No.: SAM-0262

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Kyung-Hyun Kim                      Examiner: Not yet assigned  
Serial No.: 10/040,523                              Group Art Unit: 1746  
Filed: January 7, 2002  
Title: METHOD FOR FORMING A SHALLOW TRENCH ISOLATION

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner For Patents, Washington, DC 20231.

1/17/03  
Date

Amy Groen  
Amy Groen

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

TRANSMITTAL LETTER

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. Information Disclosure Statement;
2. Forms PTO-1449 and a copy of cited reference AL; and
3. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-1798. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,

Date: 1/17/03  
Mills & Onello, LLP  
Eleven Beacon Street, Suite 605  
Boston, Massachusetts 02108  
Telephone: (617) 994-4900  
Facsimile: (617) 742-7774

Steven M. Mills  
Steven M. Mills  
Registration Number 36,610  
Attorney for Applicant



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1/10/03  
Date

Amy Green  
Amy Green

Assistant Commissioner for Patents  
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- [ ] under 37 CFR 1.129(a), or  
(First Second submission after Final Rejection)
- [X] under 37 CFR 1.97(b), or  
(Within three months of filing national application other than a CPA under § 1.53(d); or within three months of date of entry of the national stage in international application; or before mailing date of first Office Action on the merits; or before mailing date of first Office Action after filing RCE under § 1.114, whichever occurs last)
- [ ] under 37 CFR 1.97(c) together with either:
- [ ] a Statement under 37 CFR 1.97(e), as checked below, or
- [ ] the \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, or other action which closes prosecution, whichever occurs first)
- [ ] under 37 CFR 1.97(d) together with:
- [ ] a Statement under 37 CFR 1.97(e), as checked below, and
- [ ] the \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Applicant(s): Kyung-Hyun Kim  
Serial No.: 10/040,523

Statement Under 37 1.97(e)

- [X] Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- [ ] No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- [X] Copies of cited references are enclosed.
- [ ] Copies of cited references are enclosed except those entered in prior application, U.S. Serial No. \_\_\_\_\_, and references that are not required to be submitted under 37 CFR 1.98.
- [ ] The listed references were cited in a counterpart foreign application.

Concise Explanation Requirement (non-English references):

- [X] The "concise explanation" requirement under 36 CFR 1.98(a)(3)(i) for reference AL is satisfied by:

- [ ] the explanation provided on the attached sheet.
- [ ] the explanation provided in the Specification.
- [X] abstract.

It is requested the information disclosed herein be made of record in this application.

Applicant(s): Kyung-Hyun Kim  
Serial No.: 10040,523

Method of payment:

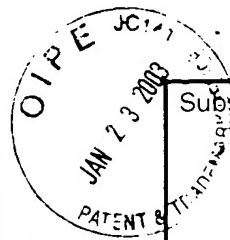
- Enclosed is a check in the amount of \_\_\_\_\_.
- Please charge Deposit Account of 50-1798 in the amount of \_\_\_\_\_.
- Two duplicate copies of this Statement are enclosed.
- Please charge any deficiency in fees and credit any overpayment to Deposit Account No. 50-1798.

Respectfully submitted,

  
\_\_\_\_\_  
Steven M. Mills  
Registration Number 36,610  
Attorney for Applicant

Date: 1/17/03  
Mills & Onello, LLP  
Eleven Beacon Street, Suite 605  
Boston, Massachusetts 02108  
Telephone: (617) 994-4900  
Facsimile: (617) 742-7774

J:SAM:0262.idsform.wpd



Sheet 1 of 1

Subst. Form PTO-1449

Docket Number (Optional)

SAM-0262

Application Number

10/040,523

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Applicant  
Kyung-Hyun Kim

Filing Date  
January 7, 2002

Group Art Unit  
1746

U. S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
AL	JP 10-032240	03-02-98	Japan	H01L	21/76		X
AM							
AN							
AO							
AP							
AQ							

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	
AS	
AT	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.